

**COPY**

Attorney Docket No. H0498/7084

**DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled

**OPTICAL MODULATOR/DETECTOR BASED ON RECONFIGURABLE DIFFRACTION GRATING**

the specification of which is attached hereto unless the following is checked:

- [X] was filed on 10/22/99, as United States Application No. 09/425,787 or PCT  
(Include Series Code)  
International Application No. \_\_\_\_\_, bearing attorney docket No.  
\_\_\_\_\_, and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

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I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §119 and 365(a), (b):

(Number)	(Country-if PCT, so indicate)	(DD/MM/YY Filed)	Priority Claimed
			[ ] [ ]
			YES NO
			[ ] [ ]
			YES NO
			[ ] [ ]
			YES NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

60/078,984	03/23/98
(Application Number)	(filing date)
(Application Number)	(filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56

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PCT International Applications designating the United States:

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I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

David Wolf	17,528	Peter J. Gordon	35,164	Robert A. Skrivaneck, Jr.	41,316
George L. Greenfield	17,756	Randy J. Fritzker	35,986	Robert M. Abrahamsen	40,886
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Address all telephone calls to Timothy J. Oyer at telephone no. (617) 720-3500. Address all correspondence to:

Timothy J. Oyer  
c/o Wolf, Greenfield & Sacks, P.C.,  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

*Olivier Schueller*  
Inventor's signature  
Full name of first inventor Olivier J. A. Schueller  
Citizenship France  
Residence & P.O. Address 19 Highland Avenue, Apt. 1, Somerville, MA 02143

03-15-00  
Date

*David C. Duffy*  
Inventor's signature  
Full name of second inventor David C. Duffy  
Citizenship Great Britain  
Residence & P.O. Address 18 Forest Street, Cambridge, MA 02140

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Date



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Inventor's signature	Date
Full name of first inventor Olivier J. A. Schueller	
Citizenship France	
Residence & P.O. Address 19 Highland Avenue, Apt. 1, Somerville, MA 02143	

Inventor's signature	Date
Full name of second inventor David C. Duffy	
Citizenship Great Britain	
Residence & P.O. Address 18 Forest Street, Cambridge, MA 02140	

**COPY**

*John A. Rogers*

*3/14/00*

Inventor's signature  
Full name of third inventor John A. Rogers  
Citizenship United States  
Residence & P.O. Address 1200 Springfield Avenue, Apt. 1C, New Providence, NJ 07974

Date

Inventor's signature  
Full name of fourth inventor Scott T. Brittain  
Citizenship United States  
Residence & P.O. Address 2048 Jane Lane, Southside, AL 35907

Date

Inventor's signature  
Full name of fifth inventor George M. Whitesides  
Citizenship United States  
Residence & P.O. Address 124 Grasmere Street, Newton, MA 02158

Date

10003033-110101

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Citizenship United States

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*[Signature]*

Date \_\_\_\_\_

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Inventor's signature

Full name of fourth inventor Scott T. Brittain

Citizenship United States

Residence & P.O. Address 2048 Jane Lane, Southside, AL 35907

Inventor's signature

Date \_\_\_\_\_

Full name of fifth inventor George M. Whitesides

Citizenship United States

Residence & P.O. Address 124 Grasmere Street, Newton, MA 02158

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Attorney's Docket No. H0498/7084

Applicants: Olivier J.A. Schueller et al.

Serial No.: 09/425,787

Filed: October 22, 1999

For: OPTICAL MODULATOR/DETECTOR BASED ON RECONFIGURABLE  
DIFFRACTION GRATING**DECLARATION CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(e) and 1.27(d) - NONPROFIT ORGANIZATION)**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: PRESIDENT AND FELLOWS OF HARVARD COLLEGE

ADDRESS OF ORGANIZATION: University Place, 4th Floor South,  
124 Mount Auburn Street, Cambridge, MA 02138-5701

TYPE OF ORGANIZATION: UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code with regard to the invention entitled OPTICAL MODULATOR/DETECTOR BASED ON RECONFIGURABLE DIFFRACTION GRATING by inventor(s), Olivier J.A. Schueller, David C. Duffy, John A. Rogers, Scott T. Brittain and George M. Whitesides, described in

- ☐ the specification filed herewith  
☒ application serial no. 09/425,787, filed October 22, 1999.  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

- ☒ no such person, concern, or organization  
☐ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

445474\_1.DOC

-2-

**COPY**

FULL NAME

ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

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NAME OF PERSON SIGNING

TITLE IN ORGANIZATION

ADDRESS OF PERSON SIGNING

Joyce Brinton

Director

Office for Technology and Trademark Licensing

Harvard University, University Place, Fourth Floor South

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